

Applicant or Patentee: Schroeder, et al.
Serial or Patent No.: Filed Herewith
Filed or Issued: To Be Assigned
For: **SYSTEM AND METHOD FOR CONDUCTING ELECTRONIC COMMERCE**



**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(d) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am:

☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: ECOUTLOOK.COM INCORPORATED
ADDRESS OF CONCERN: 425 Metro Place, Suite 550
Dublin, OH 43017

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled **SYSTEM AND METHOD FOR CONDUCTING ELECTRONIC COMMERCE** by inventors Jonathan E. Schroeder, Eric C. Yu, and Jeffrey A. Crist described in

☒ the specification filed herewith. **PD**
☒ application serial number 09/767,422 filed 1/19/01. **PD**
Patent No. _____, issued _____.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

**NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)*

NAME: ECUtlook.com, Inc.
ADDRESS: 425 Metro Place, Suite 550, Dublin, Ohio 43017

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Patrick DeSouza
TITLE OF PERSON IN ORGANIZATION: General Counsel
ADDRESS OF PERSON SIGNING: ECOutlook.com, Inc.
425 Metro Place, Suite 550, Dublin, OH 43017

Signature Patrick DeSouza Date 5/3/01



Patent
030633.0010

DECLARATION

Utility Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention **SYSTEM AND METHOD FOR CONDUCTING ELECTRONIC COMMERCE** the specification of which

(Check One)

☒ is attached hereto OR

☒ was filed on 1/19/01 as United States Application Serial No. 09/767,422; PCT
International Application No. _____
and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Date of Filing	Priority Claimed	
			Yes	No

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date	Status-Patented, Pending or Abandoned

Residence, post office address, citizenship and signature of inventor(s) set forth beginning on next page.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	FIRST Name Jonathan	MIDDLE Initial E.	LAST Name Schroeder	
	RESIDENCE & CITIZENSHIP	City Columbus	State or Foreign Country Ohio		Country of Citizenship United States
	POST OFFICE ADDRESS	140 East Tulane Road	City Columbus	State or Country Ohio	Zip Code 43202
INVENTOR'S SIGNATURE <u>Jonathan Schroeder</u> DATE <u>5/3/01</u>					

202	FULL NAME OF INVENTOR	FIRST Name Eric	MIDDLE Initial C.	LAST Name Yu	
	RESIDENCE & CITIZENSHIP	City Westerville	State or Foreign Country Ohio		Country of Citizenship United States
	POST OFFICE ADDRESS	7030 Jean Court	City Westerville	State or Country Ohio	Zip Code 43082
INVENTOR'S SIGNATURE <u>Eric Yu</u> DATE <u>5/3/2001</u>					

203	FULL NAME OF INVENTOR	FIRST Name Jeffrey	MIDDLE Initial A.	LAST Name Crist	
	RESIDENCE & CITIZENSHIP	City Sunbury	State or Foreign Country Ohio		Country of Citizenship United States
	POST OFFICE ADDRESS	14177 Perfect Road	City Sunbury	State or Country Ohio	Zip Code 43074
INVENTOR'S SIGNATURE <u>Jeffrey A. Crist</u> DATE <u>5/3/01</u>					

State of Ohio
County of Franklin

ON MAY 3, 2001 JONATHAN SCHROEDER,
ERIC YU, & JEFFREY CRIST APPEARED before
me.

ELLEN RICHARDS



ELLEN RICHARDS
Notary Public, State of Ohio
My Commission Expires 08-16-03



PATENT
030633.0010

Upon reasonable basis and information and belief, I hereby certify, to the best of my knowledge, that this correspondence, including any papers, letters, or fees referred to as being attached, enclosed, or otherwise affixed herewith, is being deposited with the United States Postal Service on the date set forth below with sufficient postage as First Class Mail in an envelope addressed to Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231.

Name of Person Depositing Correspondence: JOHN H. D'ANTICO

Signature of Person Depositing Correspondence: John H. D'Antico

Date of Deposit: 5/4/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application: 09/767,422
Date of Deposit: January 19, 2001
PTO Filing Date: January 22, 2001
Title: System and Method for Conducting Electronic Commerce
Applicants: Schroeder et al.
Group Art Unit: 2164
Examiner: To Be Assigned
Attorney Docket: 030633.0010

GRANT OF POWER OF ATTORNEY

BOX MISSING PARTS
Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

As assignee of record of an entire interest in the above-identified application, the undersigned hereby appoints as my attorney herein, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, John H. D'Antico, Reg. No. 45,917; Darren W. Collins, Reg. 44,625; Darryl J. Adams, Reg. No. 41,424; Jose C. Villarreal, Reg. No. 43,969; Pierre Hubert, Reg. No. 45,826; Jeffrey B. Plies, Reg. No. 46,999; Wayne M. Harding, Reg. No. 26,555; of

Brobeck, Phleger & Harrison LLP, 4801 Plaza on the Lake, Austin, Texas 78746; telephone (512)
330-4000.

Respectfully submitted,

ECOUTLOOK.COM, INCORPORATED

Dated: 5/3/01

By: Patrick DeSouza
Patrick DeSouza,
General Counsel

BROBECK PHLEGER & HARRISON, LLP
4801 Plaza on the Lake
Austin, Texas 78746
Telephone: (512) 330-4000
Facsimile: (512) 330-4001

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AME: ECO Outlook.com, Inc.
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NAME OF PERSON SIGNING: Patrick DeSouza
TITLE OF PERSON IN ORGANIZATION: General Counsel
ADDRESS OF PERSON SIGNING: ECO Outlook.com, Inc.
425 Metro Place, Suite 550, Dublin, OH 43017

Signature _____ Date _____